



Docket No.: M&N-IT-337

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By: Werner H. Stemer

Date: August 19, 2003

UNITED STATES IN THE PATENT AND TRADEMARK OFFICE

Applicant : Uwe Fischer et al.  
Applic. No. : 10/601,303  
Filed : June 18, 2003  
Title : Optical Coupling System and Optical Connectors

LETTER

Hon. Commissioner for Patents

Sir:

Enclosed please find a copy of the English translation of the International Preliminary Examination Report for the above-identified application. Please enter it into the file.

Respectfully submitted,

Werner H. Stemer

For Applicants

WERNER H. STEMER  
REG. NO. 34,956

Date: August 19, 2003

Lerner and Greenberg, P.A.  
Post Office Box 2480  
Hollywood, FL 33022-2480  
Tel: (954) 925-1100  
Fax: (954) 925-1101

/bmb

**Translation**

PATENT COOPERATION TREATY

**PCT**

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Maikowski & Ninnemann  
Eingegangen

08. Aug. 2003

Frist:

Geprüft:

Applicant's or agent's file reference IT337WO	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/DE01/03607	International filing date (day/month/year) 14 September 2001 (14.09.01)	Priority date (day/month/year) 18 December 2000 (18.12.00)
International Patent Classification (IPC) or national classification and IPC G02B 6/00		
Applicant INFINEON TECHNOLOGIES AG		

<p>1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of <u>5</u> sheets, including this cover sheet.</p> <p><input checked="" type="checkbox"/> This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).</p> <p>These annexes consist of a total of <u>3</u> sheets.</p>
<p>3. This report contains indications relating to the following items:</p> <p>I <input checked="" type="checkbox"/> Basis of the report</p> <p>II <input type="checkbox"/> Priority</p> <p>III <input type="checkbox"/> Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</p> <p>IV <input type="checkbox"/> Lack of unity of invention</p> <p>V <input checked="" type="checkbox"/> Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</p> <p>VI <input type="checkbox"/> Certain documents cited</p> <p>VII <input type="checkbox"/> Certain defects in the international application</p> <p>VIII <input type="checkbox"/> Certain observations on the international application</p>

Date of submission of the demand 17 July 2002 (17.07.02)	Date of completion of this report 15 April 2003 (15.04.2003)
Name and mailing address of the IPEA/EP	Authorized officer
Facsimile No.	Telephone No.

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

PCT/DE01/03607

## I. Basis of the report

1. With regard to the **elements** of the international application:\*

- ☐ the international application as originally filed
- ☒ the description:  
pages \_\_\_\_\_ 1-9 \_\_\_\_\_, as originally filed  
pages \_\_\_\_\_, filed with the demand  
pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_
- ☒ the claims:  
pages \_\_\_\_\_ 1, 3-6 \_\_\_\_\_, as originally filed  
pages \_\_\_\_\_, as amended (together with any statement under Article 19  
pages \_\_\_\_\_, filed with the demand  
pages \_\_\_\_\_ 2, 7-16 \_\_\_\_\_, filed with the letter of \_\_\_\_\_ 24 March 2003 (24.03.2003)
- ☒ the drawings:  
pages \_\_\_\_\_ 1/3-3/3 \_\_\_\_\_, as originally filed  
pages \_\_\_\_\_, filed with the demand  
pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_
- ☐ the sequence listing part of the description:  
pages \_\_\_\_\_, as originally filed  
pages \_\_\_\_\_, filed with the demand  
pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language \_\_\_\_\_ which is:

- ☐ the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of the translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. ☐ The amendments have resulted in the cancellation of:

- ☐ the description, pages \_\_\_\_\_
- ☐ the claims, Nos. \_\_\_\_\_
- ☐ the drawings, sheets/fig \_\_\_\_\_

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).\*\*

\* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rule 70.16 and 70.17).

\*\* Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

PCT/DE 01/03607

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement****1. Statement**

Novelty (N)	Claims	6	YES
	Claims	1-5, 7-16	NO
Inventive step (IS)	Claims		YES
	Claims	1-16	NO
Industrial applicability (IA)	Claims	1-16	YES
	Claims		NO

**2. Citations and explanations**

This report makes reference to the following documents:

D1: US-A-4 903 402 (27 February 1990)

D2: EP-A2-0 921 425 (9 June 1999)

D3: US-A-5 029 958 (9 July 1991).

Document D2 was not cited in the international search report.

Document D1 is regarded as the prior art closest to the subject matter of Claims 1 and 12. It discloses (the references in parentheses pertain to Figure 8 of this document) an optical coupling arrangement having:

- an optical plug connector (160) comprising
  - an optical fiber end piece (190) and
  - a metallized component (76)
- a coupling partner (12) that comprises a plug connector receptacle ((154), (88), (238) and (112) together) for receiving the optical plug connector,
- the coupling partner having a shroud (58) that is electroconductively connected to a metallic structure ((94) to (22)),

the metallized component (76), when plugged in, being electroconductively connected to the shroud (58).

Therefore, the subject matter of Claims 1 and 12 is not novel (PCT Article 33(2)).

Document D2 is regarded as the prior art closest to the subject matter of Claims 7 and 14. It discloses (the references in parentheses pertain to this document) an optical coupling arrangement having:

- an optical plug connector (12) comprising
  - an optical fiber end piece,
  - a metallized component (14), and
  - metallized locking hooks (14A)
- a coupling partner (16) that comprises a plug connector receptacle for receiving the optical plug connector (Figure 7),
- the coupling partner having a shroud (16) that is electroconductively connected to a metallic structure,  
the metallized component, when plugged in, being electroconductively connected to the shroud (58) by means of the locking hooks.

Therefore, the subject matter of Claims 7 and 14 is not novel (PCT Article 33(2)).

Dependent Claims 2-6, 8-11, 13, 15 and 16 do not contain any features which, in combination with the features of any claim to which they refer, meet the PCT requirements for novelty and inventive step. The reasons are as follows:

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INTERNATIONAL PRELIMINARY EXAMINATION REPORT

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PCT/DE 01/03607

- Claims 2-5, 9-11, 13 and 16: disclosed in document D1;
- Claim 6: disclosed in document D3;
- Claims 8 and 15: obvious to a person skilled in the art.